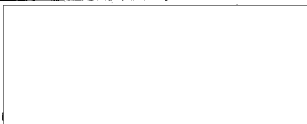


CLASSIFICATION SECRET

50X1

FOLD 11

CENTRAL INTELLIGENCE AGENCY
INFORMATION REPORT



COUNTRY

USSR

DATE DISTR. 12 MAR 54

50X1SUBJECT

Flow of Overt Documents in the USSR

NO. OF PAGES 15

PLACE
ACQUIRED



NO. OF ENCLS.
(LISTED BELOW)

DATE
ACQUIRED BY SC

SUPPLEMENT TO
REPORT NO.

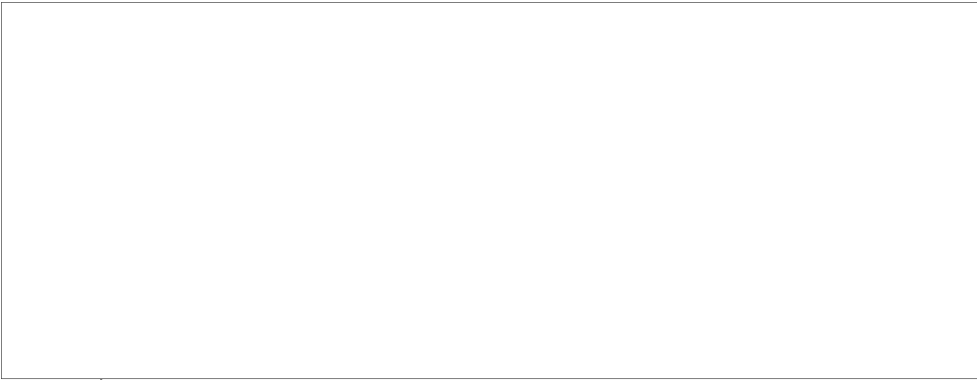
DATE OF INFORMATION



THIS DOCUMENT CONTAINS INFORMATION AFFECTING THE NATIONAL DEFENSE OF THE UNITED STATES, WITHIN THE MEANING OF TITLE 18, SECTIONS 793 AND 794, OF THE U.S. CODE, AS AMENDED. ITS TRANSMISSION OR REVELATION OF ITS CONTENTS TO OR RECEIPT BY AN UNAUTHORIZED PERSON IS PROHIBITED BY LAW. THE REPRODUCTION OF THIS FORM IS PROHIBITED.

THIS IS UNEVALUATED INFORMATION

SOURCE
50X1



GENERAL STATEMENTS

- Correspondence used in the Merchant as well as the River Fleet is divided into incoming and outgoing. Every document must be registered from the time it is sent out until the time it comes to the addressee. Documents can move in the following ways:
 - Through facilities of the USSR Ministry of Communications--postal service, telegraph and telephone.
 - Through use of couriers, messengers, errand boys, etc.
 - Through use of an organization's own communication facilities such as radio and telephone.
 - By entrusting the document to some official who happens to be going to the place where the document is being sent ("okaziya").
- Documents sent by mail are divided by degree of urgency into ordinary, urgent and very urgent. Ordinary documents go by regular mail (railway). An ordinary letter takes a rather long time to move from sender to addressee. For instance, an ordinary business letter from the Merchant Fleet Ministry in Moscow to the "Reydtanker" Shipping Line in Astrakhan usually took five to six days and sometimes seven and even eight days. Documents marked "urgent" or "very urgent" in the upper right-hand corner are usually sent air mail. "Urgent" and "very urgent" documents usually took three days from Moscow to Astrakhan, but sometimes

CLASSIFICATION

SECRET

DISTRIBUTION

ORR-EV

SEE LAST PAGE FOR SUBJECT & AREA CODES

This report is for the use within the USA of the intelligence components of the Departments or Agencies indicated above. It is not to be transmitted overseas without the concurrence of the originating office through the Assistant Director of the Office of Collection and Dissemination, CIA.

SECRET

50X1

four and even five days. Messages which are sent by radio (radio telegrams) are divided into ordinary (obyknovennyye), "lightning" (molniya), "deliver immediately" (vruchit' nemedlenno), "deliver immediately to addressee, wherever he may be" (vruchit' nemedlenno po mestu nakhozheniya). Messages dictated over the telephone (telefonogrammy) are divided into "ordinary", "urgent", "deliver immediately" and "deliver immediately to addressee, wherever he may be." Telegrams are divided into "ordinary", "urgent" and "lightning." The most widely used means of communication in the Merchant as well as the River fleet systems is ordinary postal service. Correspondence by radio has been greatly curtailed of late.

PROCEDURE FOR REGISTERING DOCUMENTS

3. As I mentioned above, every incoming and outgoing document must be registered at every point of transmittal. In all organizations of the USSR, great importance is attached to the registration of documents, and the technique for such registration has been developed to perfection, although it is extremely time consuming. All officials try to log in every document, no matter how trivial its contents. Under Soviet conditions, this is extremely important in order to be able to find the document when it becomes necessary to defend one's position in an administrative dispute. An entire system of log books (zhurnal or kniga registratsii) has been introduced to register incoming and outgoing documents. The following organizations or officials keep such log books:

- (a) Secretaries of the Minister
- (b) Secretaries of the deputy ministers
- (c) The office directorate (upravleniye delami) of the Ministry
- (d) The message center (ekspeditsiya) of the Ministry
- (e) The chief and central directorates of the Ministry
- (f) The central divisions of the Ministry
- (g) Secretaries of directors of organizations and enterprises
- (h) Secretaries of deputy directors of organizations and enterprises
- (i) In the offices (kantselyariya) of administrative/services divisions of organizations and enterprises
- (j) In major divisions and services of the organizations
- (k) Log books for incoming and outgoing documents are divided into the following types:

- (1) I C Log Book For Orders of the Minister or His Deputies in the Office Directorate of the Ministry

In this book the number of the order, the date of signature of the order, a brief resume of its contents, an indication that the order has been delivered to the press for reproduction, an indication of when the order was sent out and the designations of the persons or organizations to whom it was sent for action are entered in the manner shown below. (The word "executor", for the Russian word "ispolnitel", will be employed henceforth).

Number of the order	Date Signed	Contents of the order	Date Delivered to the Printing Office	List of Persons Receiving the order and date order was sent to them	Signature of person responsible for dispatching the order	Indication that order has been carried out

SECRET

SECRET

50X1

3

- (2) Log Book for Orders of the Minister in the Organizations and Enterprises of the Ministry.
In this log the number and date of publication of the order, a brief summary of its contents, the date the order was transmitted to the executor by the director, a summary of the director's resolution, date and signature showing receipt by executor or his representative, and an indication that the order has been carried out are entered. When the order arrives in the organization it is marked with a square stamp which contains the name of the organization, the word "arrived" (postupilo), date arrived and the incoming number.
- (3) Log Book for Registering Orders of Directors of the Ministry's organizations and enterprises.
In this log the number of the order, date it was signed, a brief summary of the contents, a list of the executors, date of delivery to the executors, acknowledgment of receipt by the executor or his representatives, and an indication that the order has been carried out are recorded.
- (4) Log Book for Incoming Mail.
This log records the ordinal number (incoming) of arrival of the document, date of arrival, name of the sender of the document, designation of the receiver of the document, the date the document was sent out and its outgoing number, a brief summary of the contents of the document, and the addressee's acknowledgment of receipt.
- (5) Log Book for Outgoing Mail.
This log records the ordinal number (outgoing) of the document, date the document was signed, name of the sender, name of the addressee, brief summary of the document, date sent, signature of the person responsible for sending and the signature of the sender indicating receipt of a copy.
- (6) Log Book for Incoming Radiograms at Radio Stations.
Unlike mailed documents, every radiogram has two registration numbers (either incoming or outgoing) because it is registered simultaneously at the radio station and in the office (kantselyariya). At the radio station the radiogram is given the incoming number of reception at the station, while at the office it is given the incoming number of arrival at the office. In the incoming log at the radio station are entered the radiogram's ordinal incoming number, the date, hour and minute received, outgoing (heading), number of the sending radio station, outgoing (signature) number of the sending office, the title of the sender, the title of the addressee, a summary of the telegram, date delivered to the office of the addressee, signature of the person responsible for receipt.
- (7) Log Book for Incoming Radiograms at the Office.
In the log book for incoming radiograms in the office records the ordinal (incoming) number of receipt of the radiogram, date of arrival in the office, title of the sender, title of the addressee, contents of the

SECRET

SECRET

50X1

4

telegram and receipt of the radiogram by the addressee.

- (8) Log Book for Outgoing Radio telegrams from an Office.
In this log are entered the ordinal (outgoing) number of the office, (usually called the signature number), date telegram was delivered by sender, designation of sender, designation of addressee, contents of radiogram, date sent to radio station for transmittal, signature of person accepting the radiogram at the radio station, acknowledgment of receipt of a copy by the sender.
- (9) Log Book for Outgoing Radiograms at the Radio Station.
In this log book are entered the ordinal (signature) number of the radiogram from the radio station (usually called the head number (golovnoy nomer)), the date the radiogram was received from the sender or office, the outgoing (signature - podpisnoy) number of the office, title of the sender, title of the addressee, contents of the telegram, date and time of transmission, name of person transmitting the radiogram, name of person receiving the radiogram at the addressee's radio station.
- (10) Delivery Registers.
Delivery registers are maintained for intermediate registration of documents as they pass through intermediate points on their way from the sender to the addressee. They are usually kept by couriers, messengers, delivery boys, etc. There is no standardized type of delivery register, and any person doing courier work may log documents according to his own system as long as he does not violate the chain of registration of the document in the process of its movement. Usually the courier, receiving in the office a document for delivery to an address, signs a receipt for the document. Then he logs it in his delivery register, noting the title of the document (if it is not in an envelope), the titles of the sender and the addressee, the number of the document and the date of delivery. In delivering the document, the courier requires a signature in his delivery log showing the document has been received.

FLOW OF DOCUMENTS

4. The Minister and his representatives or deputies carry on incoming and outgoing business correspondence through the appropriate secretaries, divisions, or directorates who initiate or act on the correspondence. Let us take concrete examples. Suppose the Minister signed some order or circular. The signed document first goes to the Minister's technical secretary who registers the document in the log book for the Minister's orders and transmits (or sends through a courier) the order to a compiler (sostavitel) or directly to the office directorate. The compiler assembles and corrects the copies of the orders in conjunction with the original, notes the appropriate executors and addressees and sends the order to the office directorate through his secretary. In the office directorate, the order is registered in the log book for orders and two approved copies with the assigned order number are sent to the Ministry printing office for duplication. The original copy of the order remains in the office directorate. After the order has been reproduced in the required number of copies, it goes to the Ministry message center (ekspiditsiya), where it is again registered in the log book for the Minister's orders and then sent to the addressees.

SECRET

SECRET



50X1

5. Suppose that an order addressed to the shief of a shipping line is signed by the Minister. This letter goes to the Minister's technical secretary. If the letter comes directly from the Minister, the secretary registers it in his log for outgoing mail and sends it to the office directorate where it is properly logged in and sent to the addressee through the message center. If the compiler of the letter is a director of a division or a glavk, the secretary turns it over to him without registering it, or, more frequently, the compiler himself, by-passing the secretary, approves the document in the Minister's office. The compiler gives the document to his own secretary who registers it in his log for outgoing documents, puts on it his outgoing number, and sends it with the copies to the message center where he gets a receipt for it. In the message center, the document is again registered and an outgoing number is again placed on it in such a way that it forms a fractional numeral - the numerator being the outgoing number of the message center and the denominator the outgoing number of the compiler. In addition, the title of the division or glavk which is fulfilling the order is noted on the document. The original of the document is sent to the addressee while the copy is given to the compiler who must sign for it in the log for outgoing mail in the message center. The fact of the document having been sent out is noted in the log for outgoing mail of the division.
6. The procedure for sending out the Minister's radiogram is approximately the same. The difference is that from the message center the radiograms of the Minister or his deputies, the following should be noted. In writing in the signature number on the document, the service code (dolzhnostnoy kod) of the Minister (TsMOR) or the deputy minister (TsZM) is entered, and in addition, the first letter of the last name of the Minister or his deputy is placed before the signature number. Thus, for example, radiograms signed by the Minister had the following appearance: N 2432 TsMOR Novikov. Radiograms signed by the Minister's deputies had the following appearance: B 533, TsZM Bakayev, or M 3224 TsZM Men'shikov, or Kh 4133 TsZM Khayurov. If the director of some division or glavk were the compiler of a document signed by the Minister or his deputy, the layout of the signature is unchanged except that the number itself will be a fractional numeral, with the signature number of the executor's division representing the denominator. The following examples will illustrate this principal: N 2432/65 TsMOR Novikov, B 533/56 TsZM Bakayev, M 3224/74 TsZM Menshikov, Kh 4133/65 TsZM Khayurov. This same procedure is used on mailed documents in a slightly changed form. The outgoing numbers and the date sent are put in corner stamps which usually have the following appearance:

USSR
Ministry of the Maritime
Fleet

Division
" 19 . year.
No

Moscow

Ulitsa Zhdanova Building No 1/Z

On the corner stamp, which is always placed in the upper lefthand number of the document, the same outgoing numbers will have the following appearance: N 2432, B 533, Kh 4133, while the signature of the Minister or one of his deputies is placed under the text of the letter as a full

SECRET

SECRET

50X1

6

title. If such a mailed document is compiled by the director of a division, for instance the Economic-Planning Division, and is signed by the Minister, the title of the compiling division will be entered on the corner stamp in the section: "division." In the example I have given, the Economic-Planning Division and number and the signature number will together make a fractional number - for example, N 4214/65. By the title of the division we determine that the compiler of the document was the chief of the Ministry's Economic-Planning Division, the letter "N" in the signature number tells us that the document was signed by Novikov (the Minister), the numerator is the outgoing number of the message center and the denominator is the outgoing number of the Economic-Planning Division. This registration procedure makes it easier to find documents.

7. If the document comes from the Minister himself or one of his deputies it moves as follows: The document, signed by the Minister, goes to his technical secretary. The secretary registers the document in his log for the Minister's outgoing mail and writes in the outgoing number on the document. Then the document together with a copy is sent to the office directorate where a receipt is received for it. Here the document is again registered in the log for outgoing mail under the same number as in the secretariat, put in an envelope and sent to the message center for mailing to the addressee. The copy of the document remains in the office directorate.

50X1

8. [redacted] that the orders of the Minister and his deputies and other documents, letters and radiograms which were compiled by the Minister himself or one of his deputies go through the office directorate. Originals of orders and copies of letters and radiograms written by the Minister or one of his deputies are kept in the office directorate. Incoming Government mail and other documents addressed to the Minister personally or to one of his deputies also go through the office directorate. [redacted] examine this latter procedure.

50X1

9. The flow of incoming letters addressed to the Minister is as follows: All mail coming in to the Ministry comes first to the message center. Here the mail is sorted and everything addressed to the Minister or one of his deputies is registered either in the log for incoming documents or in the delivery register and then transmitted to the office directorate where a receipt is obtained. In the office directorate, the mail is opened, registered in the log book for incoming mail, and transmitted to the secretaries of the Minister or one of his deputies and a receipt is obtained. Here the mail is again sorted, registered and transmitted to the Minister or one of his deputies. Private statements and complaints from unimportant persons are ordinarily not transmitted to the Minister but are sent for examination to the proper divisions. Mail which is addressed to other divisions of the Ministry is sent directly from the message center to the appropriate division, by-passing the office directorate.
10. The flow of radiograms addressed to the Minister differs only in that it proceeds through the radio station.
11. Each chief and central directorate and division of the Ministry has a secretariat charged with registering and keeping a record of all documents passing through.
12. Suppose that the chief of a chief directorate sends a letter to the director of a field organization. If the letter is written by the chief of the glavk himself or his deputy, it goes directly to the secretariat of the chief directorate. If the letter is written by one of the officials of the directorate and signed by the chief, it goes to the secretariat of the chief directorate. If the letter is written by one of

SECRET

SECRET

7

50X1

the officials of the directorate and signed by the chief, it goes to the secretariat through the executor or the compiler (sostavitel'). In the secretariat, the letter is registered and the outgoing number of the chief directorate with the appropriate code of the directorate is placed on it. For example, documents from the Chief Directorate for the Petroleum Fleet have the code "N" before the outgoing number, documents from the Chief Directorate for the Southern Fleet and Ports have the code "Yu" before the outgoing number, documents from the Chief Directorate for the Northwest Fleet and Ports have the code "S" before the outgoing number, and documents from the Central Technical Directorate have the code "T" before the outgoing number. From the secretariat of the chief directorate, the letter goes to the message center of the Ministry to be sent to the addressee. The person responsible in the message center signs a receipt for the letter either in the log book for outgoing mail of the glavk or in the delivery register. The flow of documents from other officials of chief or central directorates or divisions is similar.

13. The flow of incoming documents will be as follows. All the mail first comes to the message center of the Ministry where it is sorted. Then it is registered either in the log book for incoming mail or in the delivery register and sent to the appropriate chief or central directorate or division where it was addressed. In the secretariat of the chief directorate or other division, the mail is opened and registered in the log for incoming mail. Then the document is stamped "arrived" and transmitted to the appropriate official and a receipt is entered in the log. Such a receipt is not required from the chief or deputy chief of a glavk division.
14. The flow of documents in shipping lines, ports, basin waterway directorates, plants, shipyards, construction and other organizations of the Ministry, is carried on through heads of offices (zaveduyushchiye kantselyariyam), managers of correspondence (deloproizvodstva), clerks, (deloproizvoditeli), or file clerks of administrative services divisions, through secretaries of supervisors and deputy supervisors of organizations and through secretaries of supervisors of other economic units contained in the given organization. In very small organizations of the Ministry, all correspondence is concentrated in the hands of secretaries of directors of the organizations. Let us study this with concrete examples: Suppose that an order of the Minister arrived at the address of a shipping line. The secretary in turn signs a receipt for the order and gives the order to the chief of the shipping line. After the chief of the shipping line returns the order (usually with a resolution to the executors) to his secretary, the latter registers it in his log book for Ministerial orders (or in his delivery register) and transmits it, obtaining a receipt, to the clerk of the administrative/services division. The order then goes from the clerk to the clerk to the executor who signs a receipt.
15. The flow of incoming mail to a shipping line proceeds as follows. All mail goes to the file clerk or the clerk of the administrative/services division where it is sorted, according to the following procedure: envelopes addressed personally to the chief of the shipping line, his deputies, chiefs of services and divisions cannot be opened in the administrative/services division where it is sorted, according to the following procedure: envelopes addressed personally to the chief of the shipping line, his deputies, chiefs of services and divisions cannot be opened in the administrative/services divisions but are only registered in the log for incoming mail or else in a delivery register and transmitted to the addressee. If the envelope with a document is addressed personally to the chief of the shipping line, the clerk in the administrative/services division transmits it, obtaining a receipt, to the secretary of the chief of the shipping line. The secretary opens the envelope, registers the document in the logbook for incoming mail, stamps it "arrived" and transmits it to the chief of the shipping line. After the chief returns the document with a resolution for the executor, the secretary

SECRET

SECRET

8

50X1

adds to the note in the incoming mail logbook a brief summary of the contents of the resolution, and the name of the executor and transmits the document to the executor, obtaining a receipt. The executor, after he has acted on the document, transmits the answering, or action document with a copy to the clerk of the administrative/services division. The action document is registered as an outgoing document in the logbook for outgoing mail by the clerk and the copy is returned to the executor, who signs a receipt. The secretary is supposed to make a periodic check on fulfillment of documents coming to the chief of the shipping line and make appropriate entries on fulfillment of documents in his log for incoming mail. The executor retains the requesting document with the resolution of the chief of the shipping company and the copy of the action document in his own files.

16. Let us take another example when an envelope addressed simply to the shipping line, without indication of the office or name of the addressee, arrives at the administrative/services division. The clerk opens the envelope and finds a document addressed to the chief of the shipping line. The clerk registers the document in his incoming mail log, stamps it "arrived", writes on it the incoming number and transmits the document, obtaining a receipt, to the secretary of the chief of the shipping line. Further movement of the document will be the same as in the previous example.
17. Various complaints and personal statements addressed to the chief of the shipping line from unimportant persons are registered by the secretary in the normal manner but are then directed to the appropriate officials, bypassing the chief. Documents addressed to other officials in organizations and enterprises of the Ministry are handled in the same way as described above.
18. Outgoing documents in organizations and enterprises of the Ministry of the Merchant (as well as the River) Fleet are handled in the following manner. If the document comes from the director of the organization or enterprise personally, it goes first of all to the director's secretary. The secretary registers the document in the outgoing mail log and writes on the document the outgoing number and the date it was sent. Then he puts the document in an envelope and delivers it to the clerk of the administrative/services division for mailing to the addressee, obtaining a receipt in the delivery register.
19. Documents which are written by executors but signed by directors of organizations or enterprises are handled as follows: the executor receives the document signed by the director from the director's secretary or the director himself. Then the executor transmits the document, together with a copy, to the clerk of the administrative/services division to be sent to the addressee. The clerk registers the document in the outgoing mail log, and puts the outgoing number and the date sent on the original and the copy. The copy of the document is given to the executor for retention. He signs a receipt, and the original is sent to the addressee.
20. Outgoing radiograms in organizations and enterprises are handled as follows: The executor gives the radiogram to the director for his signature. The executor then gives the signed radiogram to the clerk in the administrative/services division, where it is registered in the outgoing radiogram log. On the original and the copy of the radiograms are marked the sending date and the signature (outgoing) number is entered before the service code and signature of the director. The copy of the radiogram is given to the executor, who signs for it, and the original is sent to the transmitting radio station where a receipt is obtained in the delivery register. At the radio station, the radiogram is registered in the outgoing radiogram log, and the outgoing number of the radio station or, as it is usually called, the head number, and then the

SECRET

SECRET

50X1

9

radiogram is punched and transmitted to the addressee.

21. In conclusion, let us examine a concrete example of the movement of a document in the Merchant Fleet system, using the most complex case where the document goes through all stages, starting with the Ministry, to the field and back to the Ministry. Suppose that the chiefs of the Economic-Planning and the Labor and Wages Divisions of the Ministry prepared for the Minister's signature the draft of a regulation for directors of chief and central directorates concerning a five per cent reduction of administrative personnel in subordinate organizations and enterprises. When the regulation has been signed by the Minister, it is delivered to the compilers either directly or through the Minister's deputy. Each compiler, in this case the chiefs of the Economic Planning and the Labor and Salaries divisions, has copies of the regulation. Either one of the chiefs sends the original of the regulation to the executor through his secretariat, with the agreement of the other chief. If they agree to send the regulation through the secretariat of the Economic Planning Division. The chief of that division transmits the Minister's regulation to his secretary who registers the document, writes in the division outgoing number, the date sent, and transmits it to the Ministry's message center for delivery to the addressee. In the message center the document is again registered in the outgoing mail logbook and the outgoing number of the message center is placed on the document in such a way as to form a fraction, of which the outgoing number of the message center is the numerator and the outgoing number of the Economic Planning Division is the denominator. In addition, the name of the division fulfilling the regulation is placed on the corner stamp. The regulation is then sent by mail or courier from the message center to the executors where receipts are obtained. A copy of the document is returned, a receipt being obtained, to the secretary of the Economic Planning Division, who immediately informs, usually by telephone, the secretary of the Labor and Wages Division that the document was transmitted to the executors on such and such a date under such and such a number. Quite frequently the following procedure for sending documents to executors is practiced. The secretary of the Economic Planning Division registers the document and inserts in the corner stamp the titles of both of the divisions which compiled the document and then the original and two copies are sent to the Ministry message center. At the message center the document is registered as usual and the copies are sent to the appropriate divisions which compiled the order, according to the designation in the corner stamp.

22. Suppose that the Chief Directorate for the Petroleum Shipping Fleet is among the executors of a ministerial regulation. The regulation is delivered by a message center courier to the secretariat of the GLAVNEFTFLOT (Chief Directorate for the Petroleum Shipping Fleet) and gets a receipt from the secretary. The secretary registers the regulation in the incoming mail log, stamps on it "arrived", the incoming number, date of arrival and transmits it to the chief of GLAVNEFTFLOT. The chief of GLAVNEFTFLOT places on the regulation a resolution approximately as follows: "Comrade Dzhalyants (chief of the Division of Labor and Wages of GLAVNEFTFLOT). "Please give instructions locally and keep track of how the Ministerial regulation is carried out." He gives this instruction to his secretary who adds a note on the contents of the chief's resolution and the name of the executor to the registration note that has already been made in the incoming mail log. The chief of the Labor and Wages Division drafts a regulation for directors of all field organizations in GLAVNEFTFLOT and gives it to the chief of GLAVNEFTFLOT for his signature. When the regulation is signed, the Chief of the Labor and Wages Division gives it, together with a copy, to the secretary of the Chief Directorate. The secretary registers the document in the outgoing mail log, places on it the outgoing number of the chief

SECRET

SECRET

50X1

10

directorates and the date sent, and transmits it to the Ministry message center by courier, usually in an envelope, and gets a receipt either in the log or in the delivery register. A copy of the regulation is returned to the chief of the Labor and Wages Division of GLAVNEFTEFLOT, who signs a receipt for it and keeps it in his files, together with the original of the Ministerial regulation and the resolution of the chief of the chief directorate. In the message center the document is registered in the outgoing mail log and sent to the addressees through facilities of the Ministry of Communications.

23. Suppose that among other organizations of GLAVNEFTEFLOT, the regulation arrives at the "Reydtanker" Shipping Line. It comes first to the clerk of the Administrative/Services Division. If the envelope is not addressed personally to the chief of the shipping line, the clerk opens it and registers it in the log for incoming mail, stamping it "arrived", and writes in the incoming number. If the envelope is addressed personally to the chief, the clerk registers the envelope either in the incoming mail log the document in the incoming mail log, stamps on it "arrived" and his incoming number and the date of arrival and then transmits it to the chief. The chief writes on it his resolution, which might be as follows: "To the Chief of the Labor and Wages Division. Please see that the instructions of the Chief of GLAVNEFTEFLOT are carried out," and then returns it to his secretary. The secretary adds a note on the contents of the chief's resolution and the name of the executor to the note he has already made in the incoming mail log and transmits the document to the executor, obtaining a receipt for same. After the chief of the Labor and Wages Division has carried out a reduction in administrative personnel in the various parts of the Shipping Line, he writes a report to the Chief of GLAVNEFTEFLOT and gives the report to the Chief of the Shipping Line for his signature. When the document has been signed it is transmitted with a copy to the clerk in the Administrative/Services Division for delivery. The clerk registers the document in the outgoing mail log, puts the outgoing number, date sent and the title of the division which authored the report, on the document. The original of the document is sent through the facilities of the Ministry of Communications to GLAVNEFTEFLOT, and the copy is transmitted to the Chief of the Labor and Wages Division and a receipt obtained. The latter retains the copy of the action document and the original of the regulation of the chief of GLAVNEFTEFLOT, with the resolution of the Chief of the Shipping Line, in the files of his division. The courier of the Administrative/Services Division delivers the report in an envelope to the mail department of the Ministry of Communications where he receives a receipt for the envelope. The number of the mail receipt must be noted in the log of the Administrative/Services Division where the document which was sent to GLAVNEFTEFLOT was registered. The report on reductions in personnel goes to the message center of the Ministry through the facilities of the Ministry of Communications. Here it is registered in the incoming mail log (the envelope is usually not opened) and sent to the secretary of the chief of GLAVNEFTEFLOT and a receipt received. The secretary opens the envelope, registers the document in the incoming mail log, writing on the document the incoming number and date of arrival and, stamping it "arrived", transmits it to the chief of GLAVNEFTEFLOT. The Chief of GLAVNEFTEFLOT puts on the document his resolution approximately as follows: "Comrade Dzhalyants. Please prepare a report to the Minister on the reductions that have been carried out in the "Reydtanker" Shipping Line incorporating it with the remaining organizations of GLAVNEFTEFLOT," and then returns the document to the secretary. The secretary adds a note on the contents of the resolution of the Chief of GLAVNEFTEFLOT and the name of the executor, to the note he has already made in the incoming mail log and then transmits the document to the executor and receives a receipt. The Chief of the

SECRET

SECRET

11

50X1

Labor and Wages Division prepares for the Chief of GLAVNEFTEFLOT a draft of a report for the Minister on the reductions in personnel that have been carried out in the organizations of GLAVNEFTEFLOT and gives the report either personally or through a secretary to the Chief of GLAVNEFTEFLOT for his signature. The secretary makes a note in the log for incoming mail from the field, on the fact that the Chief of the Labor and Wages Division has carried out the resolution of the Chief of GLAVNEFTEFLOT to prepare a draft of the report for the Minister and, in his log for incoming mail from the Minister, he makes a note that the Minister's regulation has been put into effect. The Chief of GLAVNEFTEFLOT gives the report to the Minister either through the latter's secretary, or, as is almost always the case, he delivers it personally. The Minister will put a resolution on the report similar to the following: "To Comrade Petruchik (Chief of the Economic-Planning Division) and Comrade Gretskiy (Chief of the Labor and Wages Division) for information." The report of the Chief of GLAVNEFTEFLOT goes from the Minister to the Minister's secretary, who registers it in the incoming mail log and transmits it, obtaining a receipt, to the official whose name appears first in the resolution, in this case the chief of the Economic-Planning Division. The Secretary of the Economic-Planning Division registers the document in the incoming mail log, stamps the document "arrived", and writes in the incoming number and the date of arrival. After this he transmits the document to the Chief of the Economic-Planning Division, at the same time acquainting the Chief of the Labor and Wages Division with the document by sending him the copy. Then the Chief of the Economic-Planning Division and the Chief of the Labor and Wages Division examine the report, and if it fulfills their requirements, they incorporate it in the case file. From this time on the document with the Ministerial regulation is considered closed with the Chief of GLAVNEFTEFLOT and consequently the document with the regulation of the Chief of GLAVNEFTEFLOT is considered closed for the Chief of the "Reydtanker" Shipping Line.

- 50X1 24. From the example [] it will be apparent that each document must traverse a long and complicated path in the Merchant Fleet system. This generalization pertains equally to the River Fleet and all other organizations, enterprises and establishments of the Soviet Union. [] comment that in other departments red tape is even greater than in the Merchant and River Fleet. The red tape and bureaucracy is particularly great in establishments of the so-called Soviet apparatus, in oblast', municipal, rayon and village councils of workers' deputies and in divisions contained in these executive committees. The bureaucracy and red tape in these organizations is always an object of criticism in the Soviet press.

50X1

THEORETICAL AND PRACTICAL EFFECT OF THE EXISTING METHODS OF HANDLING DOCUMENTS IN THE MARITIME AND RIVER FLEETS OF THE USSR

25. The existing system for handling documents in the Merchant and River Fleets in the Soviet Union developed gradually and it began to take on a complex form during recent years, particularly after World War II. Aside from the fact that the Government itself tended to make the system more complex in order to reinforce control, the following circumstance played a large part: Every official in all organizations and enterprises of the USSR carries great responsibility for his work. The slightest mistake in his work or tardy fulfillment of any assignment in most cases threatens the guilty person with criminal prosecution. Each official in his day-to-day work is threatened constantly by a series of articles in the criminal code and Government ukases concerning criminal prosecution for officials for a variety of misdeeds which are criminal from the point of view of the Government. Let us cite an example which concerns an over-expenditure for some item of the budget. The director of the shipping line and the chief accountant can be subject to criminal prosecution under Article 109 of the Criminal Code of the RSFSR, irrespective of whether or not these persons were guilty in permitting the over-expenditure. They would be accused of abusing their official position. One

SECRET

SECRET

12

50X1

could cite a multitude of such examples. This phenomenon gave rise to an unhealthy atmosphere of mutual distrust in all organizations without exception, and created a great number of all sorts of documents and papers so that officials might be able to defend themselves and their actions or be in a position to document their accusations of other people. In this connection, every scrap of paper, even the most insignificant from the point of view of its content, must be registered and recorded in the most painstaking fashion. Thus it can be concluded that this system of red tape was created by the Soviet Government as well as by the nature of daily work of all the officials.

26. In establishing this system of drawing up, registering and handling documents, in theory the following goals were held in mind:
 - (a) The possibility of determining at any moment the origin and whereabouts of any document.
 - (b) The possibility of facilitating supervision over the activities of every official by organs of control. In this regard, it should be kept in mind that there is a profusion of control organs for the activity of every organization and enterprise in the USSR and in the event of inspections and examinations it is vitally important for each official to have solid documentation for his every action and that all such documents be properly registered and recorded. This should be considered the most important reason for creating this complex system of handling documents.
 - (c) The possibility of facilitating supervision by chiefs over the work of their subordinates.
 - (d) The possibility of facilitating mutual control between individual officials in their day-to-day work.
 - (e) The achievement of an efficacious and flexible system for handling various orders, regulations, directions, explanations, etc.
27. The practical effect of this system of handling documents can be characterized as follows:
 - (a) The system justifies itself as far as establishing the origin and present whereabouts of any document is concerned. If a document has been properly registered and filed, there is no great difficulty in finding it. In this connection we should take into consideration the fact that in spite of the monstrous bureaucracy and red tape of Soviet establishments, there are many officials who do not know how to handle documents and hate paper work. Such persons strive whenever possible to get rid of papers either by losing them altogether or by sending them along to some other official, operating on the principal of passing the buck.
 - (b) This method of registering documents makes it possible for control organs to find the source of any document and investigate how it was acted on. In this connection the system justifies itself.
 - (c) As far as facilitating supervision by directors of organizations over the activity of their subordinates is concerned, the system justifies itself. If the chief of a shipping line wishes to check on how the Chief of the Planning Division is carrying out his work, he need only request that the Chief of the Administrative/Services Division or the clerk make extracts from the outgoing log on all documents

SECRET

SECRET

13

50X1

which have emanated from the Planning Division. With this list, the Chief can request from the Chief of the Planning Division any document emanating from his division and check on whether it has been correctly handled. Suppose that the Chief wishes to learn how the Chief of the shipping company's service of communications has been fulfilling regulations. He requests his secretary to make an extract from the outgoing log of all regulations sent to the Chief of the Service of Communications and check to see how they have been carried out.

(d) The effect of this system in facilitating a mutual check by various officials will be about the same as in the previous examples. If the Chief of the Labor and Wages Division decides to check on how the director of a ship repair plant subordinated to the shipping lines has been reviewing complaints and statements of workers, he instructs the secretary of the plant director to make extracts of the incoming mail log which concern statements by workers and make a report on how these statements have been handled. If the Chief of the Labor and Wages Division of the shipping company wishes to investigate an agency of the shipping line concerning observation of discipline in controlling numbers of personnel and salaries, he requests, from the chief of the agency, statistical information on salaries paid to workers and officials of the agency and then compares them with the official tables of organization for the agency which were sent out by the Chief of the Labor and Wages Division to the chief of the agency.

(e) Concerning flexibility and operational efficiency in the handling of documents, it must be stated that the effect of the system has been the exact opposite of what was expected. First this system of handling documents is too expensive for the nation. A whole army of parasitical administrative personnel consisting of all sorts of secretaries, mail clerks, file clerks, heads of offices, office directors, etc. must be kept to handle the ocean of documents coming in and out of all these organizations and this imposes a terrific overhead expense on the activities of such organizations. In addition, every director tries to keep two and even three secretaries instead of the specified one and charges this expense to production costs. In the great majority of organizations, directors maintain secretaries not in the slots designated by the table of organization, but in slots set up for technicians and even engineers in order to be able to pay them a better salary. Meanwhile, in production departments, the chiefs are unable to hire a desperately needed engineer because the slot is filled by a secretary of the director. Every petty chief, who has only two or three subordinates strives to maintain a secretary, in spite of the fact that this man, whom we call a chief out of charity, does not receive more than a dozen documents in a month. But the chief will maintain a secretary, even if illegally, working on the principals: "What kind of a chief can I call myself if I haven't even got a secretary?" Further, how can we talk about achieving operational efficiency in handling documents when they arrive at their destination after long periods of laying around in various "incoming" and "outgoing" points? [redacted] when ministerial orders were delivered to the executors a week and sometimes two weeks after the deadline for fulfilling them. There can be no talk of operational efficiency if we consider the following example: Over the telephone the chief of a glavk orders the chief of a shipping line to re-address a cargo to another port immediately. The chief of the shipping line refuses to fulfill an oral directive and demands written confirmation, since he fears that if the chief of the glavk is making a mistake, he, the chief of the shipping line will bear the responsibility. So the chief of the glavk is obliged to send a radiogram confirming his oral directive. By the time the radiogram has passed through all the "incoming" and "outgoing" points the vessel loaded with cargo has stood idle

SECRET

SECRET

50X1

14

for 48 hours and longer and the shipping company has suffered losses of twenty or thirty thousand rubles. Let us take another example: A chief engineer of a shipping line gives an order over the telephone to the chief of the ship machinery service to delay cleaning the ship's engines until the ship has completed an urgent cruise. The chief of the ship machinery service refuses categorically to fulfill this oral directive without a written confirmation. His reluctance to accept responsibility for such an action is due to the fact that there are definite norms for hours of operation of the various types of engines between cleanings. By the time the written order comes to the chief of the ship machinery service, the vessel will have stood unproductively for a certain length of time, and then there is still the possibility that the chief of the ship machine service will take into his head to appeal the order of the chief engineer to the chief of the shipping line.

28. Thus, [] above, a situation of horribly drawn-out paper work and bureaucracy is rampant in organizations and enterprises of the USSR. Quite frequently every vital idea and creative action dies in the embryo, smothered by paper work. Every official looks at every document coming across his desk as his bitterest enemy and tries either to reroute it or make some formal evasive answer and play for time in the hope that during the exchange of correspondence the matter in question will become less urgent so that it will not be necessary to make a great effort to fulfilling it. The former chief engineer of "Reydtanker", Engineer General Director 3rd rank of the Merchant Fleet, Tsibuzgin (at present chief engineer of the "Kaspiot" shipping line) declared quite openly that all papers should lie in a locked desk drawer without any action until they become obsolete; then they should be thrown away. [] the former chief of "Reydtanker" Loginov (present chief of the Baltic Shipping Line) received from the Central Committee of the Seamen's Union an urgent directive to send a safety technique engineer of the shipping line to Leningrad for a conference on safety technique [] not wish to fulfill this directive and decided to send a letter to the Central Committee of the Seamen's Union requesting an explanation of all sorts of details such as the length [] engineer was to be on TDY, what materials he was supposed to take along and a great number of other trivial questions. The purpose of this memorandum, speaking frankly, was to start a drawn-out correspondence and thus play for time till the conference was over, after which the directive could be filed away and forgotten. By the time [] memorandum got to Leningrad [] received a reply, the conference was over and [] able to economize [] travel funds which were always short; []

29. While officials regarded all directives and requests as their bitterest enemies, they tried to wall themselves securely with paper on their own requests and actions, working on the principal "you can't staple the spoken word in a file." [] an instance when the chief of the Capital Construction Division of the "Reydtanker" Shipping Line, Nikiforov, requested Sereda, the Chief of the Planning Division of "Reydtanker" for a certain figure. It should be noted that they worked almost in the same room, separated only by a thin partition. While sitting at their desks, they could see each other through the open doors of their offices and could easily converse. Sereda gave Nikiforov the required figure through the door. However, Nikiforov told him: "Oh no you don't, Mikhail Pavlovich. Write the figure in an official memorandum and have it registered in the Administrative/Services Division." Infuriated, Sereda answered: "If that is the way it is going to be, Aleksey Nikiforovich, be kind enough to send me the request in writing, registered in the Administrative/Services Division." And thus, these two officials, working in the same building, on the same floor and almost in the same room, carried on correspondence for two or three days on this trivial point, with a resulting delay in the work they were doing.

SECRET

SECRET

50X1

15

50X1

30. [redacted] numerous such examples of the most fantastic
delays in paper work and the most disgusting bureaucracy.

- end -

LIBRARY SUBJECT & AREA CODES

756.111	N
756.511	N
753.11	N
135.7	N

SECRET